



Patent  
Attorney's Docket No. 032405-018

#12  
B. Webb  
9/3/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of )  
Stephen A. Yencho, et al. ) Group Art Unit: Unassigned  
Application No.: 09/687,216 ) Examiner: Unassigned  
Filed: October 12, 2000 )  
For: IMPLANTABLE SUPERELASTIC )  
ANASTOMOSIS DEVICE )

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, hereby the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited is enclosed.

<u>U.S. Patent Documents</u>	<u>Date</u>	<u>Name</u>
3,254,650	06/07/66	Collito
3,519,187	07/07/70	Kapitanov, et al.
3,774,615	11/27/73	Lim, et al.
4,214,587	07/29/80	Sakura, Jr.
4,350,160	09/21/82	Kolesov, et al.
4,352,358	10/05/82	Angelchik
4,366,819	01/04/83	Kaster
4,368,736	01/18/83	Kaster
4,503,568	03/12/85	Madras
4,523,592	06/18/85	Daniel
4,553,542	11/19/85	Schenck, et al.
4,589,416	05/20/86	Green



Patent  
Attorney's Docket No. 032405-018

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of	)	
Stephen A. Yencho, et al.	)	Group Art Unit: Unassigned
Application No.: 09/687,216	)	Examiner: Unassigned
Filed: October 12, 2000	)	
For: IMPLANTABLE SUPERELASTIC	)	
ANASTOMOSIS DEVICE	)	

**INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed is an Information Disclosure Statement and accompanying form PTO-1449 for the above-identified patent application.

- ☒ No additional fee for submission of an IDS is required.
- ☐ The fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e), and the fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) are also enclosed.
- ☐ Charge \$\_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.
- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

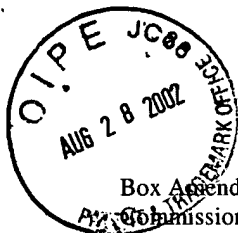
BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By: Cindy A. Lynch  
Cindy A. Lynch  
Registration No. 38,699

DOCKETED  
M.P.  
2/26/01  
→VA

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(650) 622-2300

Date: February 26, 2001



08-29-02

3765

August 28, 2002

Box Amendment  
Commissioner For Patents  
Washington, D.C. 20231

Re:      Applicant(s):      Yencho, Stephen; et. al.  
         Assignee:          Cardica, Inc.  
         Title:              Implantable Superelastic Anastomosis Device  
         Serial No.:        09/687,216  
         Examiner:        Ismael Izaguirre  
         Docket No.:        032405-018  
   Filed:    October 12, 2000  
   Group Art Unit: 3765

Dear Sir:

Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter (in duplicate);
- (3) Response to Office Action;
- (4) Copy of Transmittal Letter, Information Disclosure Statement, and Return Postcard received in the U.S. Patent Office on February 17, 2001

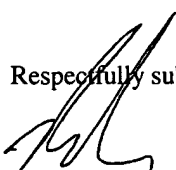
- ☒ No additional fee is required.  
☐ The fee has been calculated as shown below:

**CLAIMS AS AMENDED**

	Claims Remaining <u>After Amendment</u>		Highest No. Previously <u>Paid For</u>		Present <u>Extra</u>		<u>Rate</u>		Additional <u>Fee</u>
Total Claims	19	Minus	20	=	0	x	\$18	\$	0.00
Independent Claims	3	Minus	3	=	0	x	\$80	\$	0.00
<input type="checkbox"/>	Fee of _____ for the first filing of one or more multiple dependent claims per application							\$	
<input type="checkbox"/>	Fee for Request for Extension of Time							\$	
<b><u>Total additional fee for this Amendment:</u></b>								\$	<u>0.00</u>
<input checked="" type="checkbox"/>	Conditional Petition for Extension of Time: If an extension of time is required for timely filing of the enclosed document(s) after all papers filed with this transmittal have been considered, an extension of time is hereby requested.								
<input type="checkbox"/>	Please charge our Deposit Account No. 502108 in the amount of							\$	<u>0.00</u>
<input checked="" type="checkbox"/>	Also, charge any additional fees required and credit any overpayment to our Deposit Account No. 502108.								
<b>Total:</b>								\$	0.00

EXPRESS MAIL NO. EV167837147US

Respectfully submitted,

  
Brian A. Schär  
Attorney for Applicant(s)  
Reg. No. 45,076

RECEIVED  
AUG 30 2002  
TECHNOLOGY CENTER R3700

<u>U.S. Patent Documents</u>	<u>Date</u>	<u>Name</u>
4,593,693	06/10/86	Schenck
4,607,637	08/26/86	Berggren, et al.
4,624,255	11/25/86	Schenck, et al.
4,624,257	11/25/86	Berggren, et al.
4,657,019	04/14/87	Walsh, et al.
4,665,906	05/19/87	Jervis
4,747,407	05/31/88	Liu, et al.
4,907,591	03/13/90	Vasconcellos, et al.
4,917,087	04/17/90	Walsh, et al.
4,917,090	04/17/90	Berggren, et al.
4,917,091	04/17/90	Berggren, et al.
5,062,842	11/05/91	Tiffany
5,119,983	06/09/92	Green, et al.
5,171,262	12/15/92	MacGregor
5,217,474	06/08/93	Zacca, et al.
5,234,447	08/10/93	Kaster, et al.
5,250,060	10/05/93	Carbo, et al.
5,304,220	04/19/94	Maginot
5,314,468	05/24/94	Ramos Martinez
5,336,233	08/09/94	Chen
5,354,302	10/11/94	Ko
5,366,462	11/22/94	Kaster, et al.
5,395,311	03/07/95	Andrews
5,443,497	08/22/95	Venbrux
5,456,712	10/10/95	Maginot
5,456,714	10/10/95	Owen
5,464,449	11/07/95	Ryan, et al.
5,478,354	12/26/95	Tovey, et al.
5,522,834	06/04/96	Fonger, et al.

<u>U.S. Patent Documents</u>	<u>Date</u>	<u>Name</u>
5,556,405	09/17/96	Lary
5,558,667	09/24/96	Yarborough, et al.
5,571,167	11/05/96	Maginot
5,643,340	07/01/97	Nunokawa
5,669,918	09/23/97	Balazs, et al.
5,676,670	10/14/97	Kim
5,693,088	12/02/97	Lazarus
5,695,504	12/09/97	Gifford, III, et al.
5,702,412	12/30/97	Popov, et al.
5,707,362	01/13/98	Yoon
5,707,380	01/13/98	Hinchliffe, et al.
5,709,335	01/20/98	Heck
5,709,693	01/20/98	Taylor
5,725,544	03/10/98	Rygaard
5,725,553	03/10/98	Moenning
5,732,872	03/31/98	Bolduc, et al.
5,797,920	08/25/98	Kim
5,814,073	09/29/98	Bonutti
5,817,113	10/06/98	Gifford, III, et al.
5,881,943	03/16/99	Heck et al.
5,893,369	04/13/99	LeMole
5,904,697	05/18/99	Gifford, III, et al.
5,921,995	07/13/99	Kleshinski
5,944,730	08/31/99	Nobles, et al.
5,947,363	09/07/99	Bolduc, et al.
5,957,363	09/28/99	Heck
5,976,159	11/02/99	Bolduc, et al.
6,007,544	12/28/99	Kim
6,022,367	02/08/00	Sherts

<u>U.S. Patent Documents</u>	<u>Date</u>	<u>Name</u>
6,113,612	09/05/00	Swanson, et al.
6,152,937	11/28/00	Peterson, et al.
6,165,185	12/26/00	Shennib, et al.

<u>Foreign Patent Documents</u>	<u>Date</u>	<u>Country</u>
WO 92/08513	05/29/92	PCT
WO 97/25002	07/17/97	PCT
WO 97/27898	08/07/97	PCT
WO 97/31575	09/04/97	PCT
WO 98/07399	02/26/98	PCT
WO 98/19618	05/14/98	PCT
WO 98/19625	05/14/98	PCT
WO 98/19629	05/14/98	PCT
WO 98/19630	05/14/98	PCT
WO 98/19631	05/14/98	PCT
WO 98/19632	05/14/98	PCT
WO 98/19634	05/14/98	PCT
WO 98/19636	05/14/98	PCT
WO 98/30153	07/16/98	PCT
WO 98/42262	10/01/98	PCT
WO 98/47430	10/29/98	PCT
WO 98/55027	12/10/98	PCT
WO 99/17665	04/15/99	PCT
WO 99/18887	04/22/99	PCT
WO 99/21491	05/06/99	PCT
WO 99/38441	08/05/99	PCT
WO 99/38454	08/05/99	PCT
WO 99/45848	09/16/99	PCT
WO 99/62406	12/09/99	PCT

<u>Foreign Patent Documents</u>	<u>Date</u>	<u>Country</u>
WO 99/62409	12/09/99	PCT
WO 99/63910	12/16/99	PCT
WO 99/65409	12/23/99	PCT
WO 00/09040	02/24/00	PCT
0517252	12/09/92	Europe
297 13 335.7	11/27/97	Germany

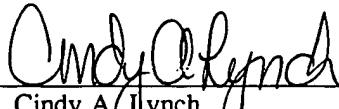
The documents are being submitted within 3 months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(b).

To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By:

  
Cindy A. Lynch  
Registration No. 38,699

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(650) 622-2300

Date: February 26, 2001

RECEIVED  
AUG 30 2002  
TECHNOLOGY CENTER R3100



Inventor: Stephen A. Yencho, et al.

Appln. No.: 09/687,216

Filing Date: October 12, 2000

Docket No.: 032405-018

Work Atty.: CALynch

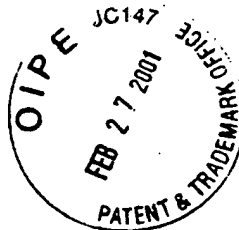
Date: February 26, 2001



The following was/were received in the U.S. Patent and Trademark Office on the date stamped hereon:

41

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Amendment or Response  | <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Certificate Under 37 C.F.R. § 3.73(b) | <input type="checkbox"/> Check for \$ _ is enclosed                                       |
| <input type="checkbox"/> Preliminary Amendment  | <input type="checkbox"/> Transmittal Letter for Missing Parts of Application                                | <input type="checkbox"/> Check for \$ _ is enclosed                                       |
| <input type="checkbox"/> Reply Transmittal Letter   | <input type="checkbox"/> Executed Declaration/Power of Attorney   | <input type="checkbox"/> Charge \$ _ to Deposit Account                                   |
| <input type="checkbox"/> Petition for _ Month Extension of Time                                   | <input type="checkbox"/> Assignment/Assignment Recordation Form Cover Sheet (PTO-1595)                      | <input type="checkbox"/> Issue Fee Transmittal  |
| <input type="checkbox"/> Submission of Formal Drawings w/_ sheet(s) of drawings (Fig(s), 1- _)    | <input type="checkbox"/> Claim for Convention Priority w/_ certified copy(s)                                | <input type="checkbox"/> Payment of Issue Fee and Authorization to charge Deposit Account |
| <input type="checkbox"/> Request for Approval of Drawing Changes w/_ sheet(s) of red ink drawings | <input checked="" type="checkbox"/> Information Disclosure Statement w/_ 103 document(s) enclosed           | <input type="checkbox"/> Request for Refund   |
| <input type="checkbox"/> Notice of Appeal   | <input checked="" type="checkbox"/> Information Disclosure Citation (PTO-1449)                              | <input type="checkbox"/> Status Inquiry   |
| <input type="checkbox"/> Brief for Appellant  | <input checked="" type="checkbox"/> Information Disclosure Statement Transmittal Letter                     |   |
| <input type="checkbox"/> Request for Oral Hearing   | <input type="checkbox"/> Request for Corrected Notice of Recordation of Assignment w/copy of Notice         |   |
| <input type="checkbox"/> Reply Brief  | <input type="checkbox"/> Request for Continued Examination  |   |
| <input type="checkbox"/> Response to Restriction Requirement or Election of Species               |   |   |



(10/00)

38

TC 3700 MAIL ROOM

AUG 30 2002

RECEIVED